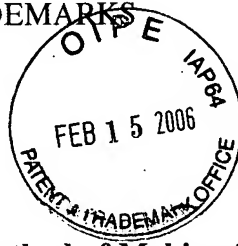


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
Alexandria VA 22313-1450



In re Application of: Nikolai Ledentsov  
Serial No. 10/694,687  
Filed: October 27, 2003  
For: Semiconductor Device and Method of Making Same  
Examiner: Maria Guerrero  
Art Unit: 2822  
Attorney Docket No.: QIL-1DIV

INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this information Disclosure Statement

1. ☒ Preliminary Statements
2. ☒ FORM PTO - 1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found in Patents or Publications
4. ☐ Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5. ☐ Cumulative patents or Publications
6. ☐ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items.
8. ☐ Translation(s) of Non-English Language Documents
9. ☒ Certification under MPEP 609(e)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

02/16/2006 CCHAU1 00000016 ~~10649687~~

05 FC:1806 180.00 DP

CERTIFICATE OF MAILING

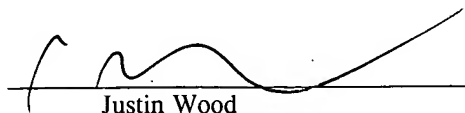
☒ Certified Mail No: 7004 0750 0003 0365 3487

Date: February 10, 2006

I hereby certify that this correspondence is being deposited with the United States Postal Service, return receipt requested in an envelope addressed to: Mail Stop Amendment, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date.

02/16/2006 CCHAU1 00000078 10694687

05 FC:1806 180.00 DP

  
Justin Wood

## **Section 1. Preliminary statements**

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## **Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)**

\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

## **Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications (Information not listed in PTO 1449)**

## **Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted**

## **Section 5. Cumulative Patents or Publications**

☐ Item(s)

are cumulative of the following patents or publication listed on Form PTO 1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of \_\_\_\_\_ is being submitted with this information disclosure statement.

## **Section 6. Copies of Listed Information Items Accompanying This Statement**

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

## **Section 7. Concise Explanation of Non-English Language Listed Information Items**

## **Section 8. Translation(s) of Non-English Language Documents**

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or

substantial equivalent of the English language documents identified below, which are also submitted herewith.

### Section 9. Certification under Rule 1.97

☒ The undersigned hereby certifies that:

a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.

b. The fee set forth in §1.17(p)

☒ Is being paid with this Information Disclosure Statement

☐ Is not due because:

☐ (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.

### Section 10. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT

The person making this statement is

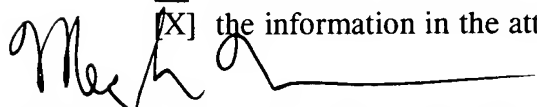
(a) ☐ the inventor(s) who signs below

(b) ☒ the attorney who signs below on the basis of:

☐ the information supplied by the inventor(s)

☐ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).

☒ the information in the attorney's file

  
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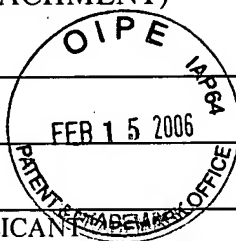
e-mail: docket@bpmlegal.com

Customer number: 020808

  
Date:

## Section 2. Form PTO - 1449 (Modified) (ATTACHMENT)

FORM PTO-1449 U.S. DEPT. OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE	ATTY DOCKET NO. QIL-1DIV	SERIAL NO. 10/694,687
	APPLICANT Ledentsov	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	FILING DATE 10/27/03	GROUP 2822



## U.S. PATENT DOCUMENTS

Exam Initial	DOCUMENT NUMBER	DATE	PATENTEE	CLASS	SUB	FILING DATE IF APPROPR
	5,221,367	06-1993	Chishol et al.	148	33	
	6,184,144	2-2001	Lo, Yu-Hwa	438	703	

## FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

Exam Initial	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB	TRANSLATION YES   NO

## OTHER PRIOR ART

Exam Initial	Author, Title, Date, Pertinent Pages, Etc
	"Novel In-Plane Semiconductor Lasers V - LASE 2006- Symposia" The International Society for Optical Engineering, January 2006 <a href="http://spie.org/Conferences/Programs/06/pw/lase/index.cfm?fuseeact">http://spie.org/Conferences/Programs/06/pw/lase/index.cfm?fuseeact</a>
	"Semiconductor and Organic Optoelectronic Materials and Devices (APOC02) - Conferences - APOC 2002" The International Society for Optical Engineering, November 2004 <a href="http://spie.org/Conferences/Programs/04/apoc/conferences/index.cf?fuseaction=5624">http://spie.org/Conferences/Programs/04/apoc/conferences/index.cf?fuseaction=5624</a>
	"Nano-Optoelectronic Workshop (NOW)" August 21-23, 2005, University of California, Berkeley. <a href="http://laser.eecs.berkeley.edu:8080/Registration.htm">http://laser.eecs.berkeley.edu:8080/Registration.htm</a>
	Nikolai Ledentsov, "Quantum Dots for Degradation -Robust 1.3-1.5 Micron Lasers of GaAs", Nano-Optoelectronic Workshop (NOW)", August 22, 2005, University of California, Berkeley
	N. N. Ledentsov et al. "QD Lasers: Physics and Applications" Semiconductor and Organic Optoelectronic Materials and Devices, edited by Chung-En Zah, Yi Luo and Shinji Tsuji, Proceedings of SPIE Vol. 5624, November 2004, pp. 335-344.

EXAMINER	DATE CONSIDERED